



New Jersey Department of Children and Families Policy Manual

Manual:	CP&P	Child Protection & Permanency	Effective Date:
Volume:	III	Case Management	
Chapter:	E	Case Records and Archives	1-5-2017
Subchapter:	3	Case Record Filing	
Issuance:	100	Case Record Filing – CP&P Staff	

Purpose:

This issuance establishes where to appropriately file client information into the CP&P case file.

Authority:

- N/A

Policy:

A) NJ SPIRIT Case Numbers and KC Numbers

The Worker must ensure the case record contains the accurate case name as it appears in New Jersey Spirit and contains the NJS Case ID number are recorded on the label attached to the case record. With older cases, the KC# may also be included.

B) Sections within the CP&P Case Record

Each section of the case record is color coded. On each of the case record pockets, the Worker must ensure that the appropriate case-related information is placed in the appropriate section of the record. The following information establishes the appropriate sections of the record.

- I. Case Recording (Bright Orange)
- II. Placement Forms (Blue)
- III. Resource Sheet (Green Pocket)
- IV. Legal Material (Yellow)
- V. Third Party & Correspondence (Red)
- VI. Computer Materials (Orange)
- VII. Major Health Information
- VIII. Fiscal Material (Yellow)

C) Web-based Case Related Information

The Worker must ensure that all web-based documents are printed and filed in the appropriate section of case record. These web-based documents must also have the appropriate signatures on the documents before filing.

D) Chronological Order

The Worker must ensure that all case-related documents are filed chronologically with the **most current** document placed on top. **Note:** The calendar year and volume number of the record must be clearly identified on the outside of each case record. The Worker must not over-stuff case records.

E) Case Recording (Bright Orange - Left Side)

Initial Response Report, including:

- Child Protective Service Report and CPS Summary
- Child Welfare Service Assessments – CWS
- Specific allegations protocol and checklist
- Structured Decision-Making Tools (SDM)
 - Safety Assessments are only completed in **written** form whenever circumstances change that may warrant a placement or safety intervention, or upon reunification;
 - Risk Reassessment (in-home only, every six months from application date, or if circumstances change);
 - Reunification Assessment (out of home with a goal of reunification, every three months from the date of placement);
 - Caregiver Strengths and Needs Assessments;
 - Child Strengths and Needs Assessments;
 - Family Risk Assessment;
 - Caregiver Strengths and Needs Assessment;
 - Child Strengths and Needs Assessment; and
 - Reunification Assessment.
- All contact sheets
- Initial Assessment
- Case Plan (In Home or Out of Home) signed by the parent
- Visitation Plan
- Case Transfer/Case Closing Summary and Closing/Transfer Checklist
- Photographs (in relation to the investigation only)
- All Family Team Meeting Reports/Family Agreements
- Emails can be filed if the information relates to the family's case
- Part A & B for Adoption

- Case Chronology

F) Placement Forms (Blue - Right Side)

Concurrent Planning Documents

- Task at Placement Sheet
- Full Disclosure Checklist
- Concurrent Planning Guide
- 30-day, 90-day, 5-month 10 month and Post Permanency Reviews
- Request for Resource Home
- Resource Home Placement Confirmation
- Resource Provider ID letter
- Relative/Family Friend Kinship Care Packet
- Placement photographs, clearly marking the following:
 - NJ SPIRIT Case ID number
 - Name of person in the photograph
 - Date of birth
 - Date photograph was taken
 - Name of person taking the photograph
 - Where the photograph was taken
- Interstate Request for Evaluation of Relative/Family Friend Placement or Residential Placement Out of State
- Relative Interest Letter
- Placement Conference Invitation Letters
- Residential Placement Agreement
- Independent Living Agreement
- Congregate Care Questionnaire
- Resource Family Child Safety Assessment and Face Sheet
- Permanency Timeline Document
- CPR Notice of Placement and Change in Placement

G) Resource Sheet (Green, First Pocket)

- Parent's names, telephone numbers, addresses **Note:** if there are multiple fathers, indicate which child(ren) belong to him.
- Child's name and address if different from parents' information.
- Any and all relatives' names, telephone numbers, addresses, and relationship to the child.
- Any and all friends of the family who act in a supportive capacity for the parent or as a resource for the child-include address and telephone number.
- Medical Health Practitioners for both the child and the parent (where applicable). Specify what service is provided by whom as well as telephone number and address.

- Social Services Providers for both the child and the parent regardless of agency contract or community-based service. Specify the type of service provided to whom as well as the telephone number and address.
- School information including day care, preschool, primary, secondary, college or other educational program provided for each child with a telephone number and an address.
- Resource or kinship care provider information including telephone number and address for each child.
- Directions to the home.

Note: All entries must be dated and updated as the information changes.

H) Legal Material (Yellow – Left Side)

- CP&P complaints, affidavits, court orders, surrenders of custody
- Guardianship or Kinship Legal Guardianship complaints
- Subpoenas
- Police Reports/Human Service Police
- Custody Orders
- Denial of Paternity
- Court report for Adoption Finalization
- Civil Court and Juvenile Court orders
- Notice of Dodd Emergency Removal, CP&P Form [21-6](#)
- Affidavit of Inquiry
- Promis Gavel Information
- CARI checks
- KLG Packet
- ASFA Exception
- Parole Home Evaluation Request and Home Evaluation
- Reports for correctional facilities, probation, or other law enforcement agency
- Immigration documents

I) Third Party Information and Correspondence (Red – Right Side)

- Release of Information Forms
- Any letter sent out of the office, e.g.,
 - Request for collaterals
 - Request for birth certificates
 - Request for birth records
 - Scheduling appointments
 - Rule out letters
 - Search letters for missing parents
- CAPTA (Early intervention) letters
- Perpetrator letters

- IAIU Final Reports
- Out of State Summaries
- Referrals, including substance use disorder referrals
- Referral summaries
- Fax confirmations
- Pertinent letters and documents related to case planning
 - Letters from clients or caregivers
 - Open/Close letters to parents, caregivers, third parties, law enforcement and referral sources
- Critical Incident Reports
- School collaterals/report cards

J) Computer Materials (Second Pocket)

- Safe Measures Documentation
- NJ SPIRIT documents (as appropriate)

K) Major Health Information

- Child's Medical Examination Form (CP&P Form [11-2](#))
- Comprehensive Health Evaluation for Children (CHEC) Referral Form
- Pediatric Records (Certified)
- Immunization Records
- Hospital Records (Certified)
- Dental Records (Certified)
- Vision Screening
- Early and Periodic Screening, Diagnosis and Treatment (EPSDT) Forms
- Health and Education Form (CP&P Form [5-16](#))
- Reports (CST evaluations/IEPs) or other school concerns
- HIPPA Forms (signed by parents)
- Referral to CP&P Nurse Consultant/Medical Unit (SHPS or Medically Fragile)
- Referral to NJ CARES Medical Consultants
- Reports from any of the Division's Medical Consultants
- Long Form Birth Certificates, Death Certificates, Social Security Cards
- SSI materials
- Certified Psychiatric and Psychological/Mental Health Information
 - Evaluations
 - Progress Reports
 - Discharge Summaries
 - Fire Setter Evaluations
 - Sex Abuse Evaluations/Reports

- Forensic Risk Assessments
- Substance Use Disorder Services
 - Recommendations
 - Treatment/Progress Reports
 - Discharge Reports
- Residential Facility Reports

- Medical Form (19 pages)

L) Fiscal Materials

- Special Approval Requests (SARS), CP&P Form [16-76](#)
- Medicaid Eligibility Application/Determination
- IV-E Eligibility Determination
- Resource Provider Rate Assessment
- Receipts of any kind (CP&P Receipt Form)
- Adoption Subsidy Material
- Legal Guardianship Subsidy Agreement
- Flex Fund Request and Receipt of Purchase
- Exceptional Request for Residential Placement
- Financial Statements
- Supplemental Security Income documents/statements
- Legally responsible Relative Financial Agreement
- Clothing Inventory

Related Information:

- [CP&P-III-C-1-100, Intra-office Case Transfer](#)
- [CP&P-III-C-6-100, Case Recording](#)
- [CP&P-IX-A-1-100, Worker Safety Issues - Worker Alert Labels](#)